

01-17-01

UTILITY PATENT APPLICATION TRANSMITTAL

(only for new nonprovisional applications under 37 CFR §1.53(b))

Assistant Commissioner of Patents

Box Patent Application

Washington, D.C. 20231

Sir:

Transmitted herewith for filing is the patent application
under 37 CFR 1.53(b) of:

AVENTIS DOCKET NO.: HMR2041 US NP1

INVENTORS: Kurt M. Kessler

TITLE: Ethanol Solvate of (-)-cis-2-(2-
chlorophenyl)-5,7-dihydroxy-8[4R-(3S-
hydroxy-1-methyl)piperidiny]-4H-1-
benzopyran-4-one

I hereby certify that this correspondence is being
deposited with the United States Postal Service as
Express Mail in an envelope addressed to Assistant
Commissioner for Patents, Washington, D.C. 20231,
on

January 16, 2001

Date of Deposit

Signature

Express Mail No. EL685154085US

APPLICATION ELEMENTS

1. ☒ *Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original and a duplicate for fee processing)

2. ☒ Specification
(preferred arrangement set forth below)
- Descriptive title of the Invention
 - Cross References to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to Microfiche Appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure

Total Pages 12

3. ☐ Drawing(s) (35 U.S.C. 113)

Total Sheets

4. Oath or Declaration

Total Pages

- a. ☒ Unexecuted (original or copy)

- b. ☐ Copy from a prior application (37 CFR § 1.63(d))
(for continuation/divisional with Box 16 completed)

- i. ☐ DELETION OF INVENTOR(S)

Signed statement attached deleting inventor(s) named in the prior
application, see 37 CFR §§ 1.63(d)(2) and 1.33(b).

5. ☐ Microfiche Computer Program (Appendix)

6. Nucleotide and/or Amino Acid Sequence Submission
(if applicable, all necessary)

- a. ☐ Computer Readable Copy
- b. ☐ Paper Copy (identical to computer copy)
- c. ☐ Statement verifying identity of above copies

1c966 U.S. PTO
01/16/01

1c825 U.S. PTO
09/760590
01/16/01

☐ If a **CONTINUING Application**, check appropriate box, and supply the requisite information:
☐ Continuation ☐ Divisional ☐ Continuation-in-part
of prior application no: _____, filed _____,
Examiner _____, Group/Art Unit _____.
(The cross reference has been/will be inserted on page one of the specification).

☒ This application claims the benefit of U.S. Provisional Application No. Not Yet Assigned,
filed Jan. 18, 2000. (The cross reference has been/will be inserted on page one of the specification).

☐ **Incorporation By Reference** (useable if filing a continuation/divisional and a copy of the declaration from the prior application is enclosed.)
The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied, is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein.

ACCOMPANYING APPLICATION PARTS

7. ☐ Assignment Papers (cover sheet & document(s))
8. ☐ 37 CFR §3.73(b) Statement ☒ Power of Attorney
(when there is an assignee)
9. ☐ English Translation Document (if applicable)
10. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
11. ☐ Preliminary Amendment
12. ☒ Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)
13. ☐ *Small Entity Statement(s) ☐ Statement filed in prior application, Status still proper and desired
(PTO/SB/09-12)
14. ☐ Certified Copy of Priority Document(s)
(if foreign priority is claimed)
15. ☒ Other: Bibliography Data Sheet

CORRESPONDENCE ADDRESS

☒ Customer Number or Bar Code Label

005487

(Insert Customer No. or Attach bar code label here)

Carolyn D. Moon
Carolyn D. Moon, Reg. 33,022
Attorney/Agent for Applicant

Aventis Pharmaceuticals Inc.
Patent Department
Route #202-206 / P.O. Box 6800
Mail Code: EMC-G1
Bridgewater, New Jersey 08807-0800
Telephone (908) 231-2356
Telefax (908) 231-2626

Aventis Docket No. HMR2041 US NP1

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number

FEE TRANSMITTAL for FY 2000

Patent fees are subject to annual revision.

Small Entity payments must be supported by a small entity statement,
otherwise large entity fees must be paid. See Forms PT/SB/09-12.

See 37 C.F.R. §§ 1.27 and 1.28.

TOTAL AMOUNT OF PAYMENT (\$1300.00)

Complete if Known

Application Number	Not Yet Assigned
Filing Date	Concurrently Herewith
First Named Inventor	Kurt M. Kessler
Examiner Name	
Group / Art Unit	
Attorney Docket No.	HMR2041 NP1

METHOD OF PAYMENT (check one)

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number

Deposit Account Name

- ☒ Charge Any Additional Fee Required
Under 37 CFR §§ 1.16 and 1.17

2. ☐ Payment Enclosed:

☐ Check ☐ Money Order ☐ Other

FEE CALCULATION

1. BASIC FILING FEE

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
101	690	201	345	Utility filing fee	710
106	310	206	155	Design filing Fee	
107	480	207	240	Plant filing fee	
108	690	208	345	Reissue filing fee	
S	150	214	75	Provisional filing fee	

SUBTOTAL (1) (\$710.00)

2. EXTRA CLAIM FEES

Extra Claims		Fee from below	Fee Paid
Total Claims	12 - 20** = 0	18	0
Independent Claims	7 - 3** = 4	80	320
Multiple Dependent		270	270

**or number previously paid, if greater; For Reissues, see below

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	80	202	39	Independent claims in excess of 3
104	260	204	130	Multiple dependent claim, if not paid
109	78	209	39	**Reissue independent claims over original patent
110	18	210	9	**Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$590.00)

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English Specification	
147	2,520	147	2,520	For filing a request for reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	380	216	190	Extension for reply within second month	
117	870	217	435	Extension for reply within third month	
118	1,360	218	680	Extension for reply within fourth month	
128	1,850	228	925	Extension for reply within fifth month	
119	300	219	150	Notice of Appeal	
120	300	220	150	Filing a brief in support of an appeal	
121	260	221	130	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,210	241	605	Petition to revive - unintentional	
142	1,210	242	605	Utility issue fee (or reissue)	
143	430	243	215	Design issue fee	
144	580	244	290	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Petitions related to provisional applications	
126	240	126	240	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	
146	690	246	345	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	690	249	345	For each additional invention to be examined (37 CFR § 1.129(b))	

Other fee (specify) _____


Other fee (specify) _____

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) 0

SUBMITTED BY

Complete (If applicable)

Name (Print/Type)	Carolyn D. Moon	Registration No. (Attorney/Agent)	33,022	Telephone	(908) 231-2356
Signature				Date	January 16 2001

WARNING:

Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement. This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231
DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.